| Montana Operations Manual | Policy Number | 1140.XS1 |
|---|---|---|
| **_Standard_** | **Effective Date** | August 16, 2011 |
| | **Last Revised** | August 16, 2011 |

| **Issuing Authority** | State of Montana Chief Information Officer |
|---|---|

## Software Asset Management

### I. Purpose

This Software Asset Management (SAM) Standard (Standard) establishes the statewide specification and process requirements for the management of software assets.

This Standard is promulgated under the Statewide Enterprise Information Systems Acquisition Policy.

### II. Scope

This Standard applies to all executive branch agencies (Agency), excluding the university system, and other service providers (e.g. independent contractors) who have access to, use, or manage Information Technology.

### III. Statement of Standard

#### A. Performance and Management Requirements

Each Agency shall:

1. implement Agency software acquisition policies and procedures to ensure lawful acquisition and use of software;

2. assign SAM roles and responsibilities;

3. perform SAM based on assigned roles and responsibilities;

4. allocate adequate resources to implement SAM programs and controls;

5. establish and evaluate performance measures to assess implementation of this Standard and subordinate processes and procedures;

6. develop process(es) and procedure(s) to measure compliance with this Standard;

7. implement Organizational Management Processes for SAM through control procedure(s) using the ISO/IEC 19770-1 technical standard as guidance. The following list of controls (extracted from ISO/IEC 19770-1) shall be implemented not later than the associated effective timeframe:

   a. PHASE ONE – Trustworthy Data
      (a) Knowing what you have so you can manage it.
      (b) Software Asset Identification
      (c) Software Asset Inventory Management
      (d) Software Asset Record Verification
      (e) Software Licensing Compliance
      (f) Conformance Verification for SAM

   b. PHASE TWO – Practical Management
      Improving management controls and driving immediate benefits.

      (a) Corporate Governance Process for SAM
      (b) Roles and Responsibilities for SAM
      (c) Policies, Processes and Procedures for SAM
      (d) Planning for SAM
      (e) Monitoring and Review of SAM
      (f) Competence in SAM
      (g) Conformance Verification in SAM

      The department head (or equivalent executive officer) has overall responsibility for providing adequate resources to support SAM.

   c. PHASE THREE – Operational Integration
      Improving efficiency and effectiveness.

      (a) Relationship and Contract Management for SAM
      (b) Financial Management for SAM
      (c) Service Level Management for SAM
      (d) Acquisition Process
      (e) Software Deployment Process
      (f) Retirement Process
      (g) Conformance Verification for SAM

   d. PHASE FOUR – Full ISO Conformance
      Achieving best-in-class strategic SAM.

(a) Security Management for SAM
(b) Software Asset Security Compliance
(c) Change Management Process
(d) Software Development Process
(e) Software Release  Management Process
(f) Incident Management Process
(g) Problem Management Process
(h) Software Asset Control
(i) Implementation of SAM
(j) Continual Improvement of SAM
(k) Conformance Verification for SAM

8. review SAM controls and procedures annually, and implement authorized changes to policy, standard(s), processes or procedures;

9. report status of Agency SAM processes and Agency-controlled software assets annually to the State Chief Information Officer (CIO).  The annual timeframe will be established at a future date; and

10. report compliance to this Standard annually to the CIO.  The annual timeframe will be established at a future date.

The CIO shall develop and implement procedures to:

1. report statewide status of SAM compliance to the Information Technology Board (ITB) and Information Technology Managers Council (ITMC);

2. report statewide status of SAM inventories to the ITB and ITMC;

3. report SAM inconsistencies and violations to the ITB and ITMC; and

4. support agency SAM via consultation, training, and best practice guidance.

## B.  Implementation

Agencies may refer to the International Standards Organization/International Electrotechnical Commission (ISO/IEC) 19770-1 technical standard for implementation guidance

## IV.  Definitions

**Information Resources:**  Information and related resources, such as personnel, equipment, funds, and information technology.  Reference 44 U.S.C. Sec. 3502.

**Information System:** A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. Reference 44 U.S.C. Sec. 3502.

**Information Technology:** Hardware, software, and associated services and infrastructure used to store or transmit information in any form, including voice, video, and electronic data. Reference 2-17-506(7), MCA.

**International Organization for Standardization (ISO)**: World's largest developer and publisher of international standards. Headquartered in Geneva, Switzerland, the organization represents 157 countries in its committees, subcommittees and working groups. The joint technical committee for information technology, formed between the ISO and the International Electrotechnical Commission, is JTC1. The JTC1 subcommittee for software and systems engineering is SC7 and the JTC1 SC7 working group for ISO/IEC 19770 SAM Standards is WG 21.

**ISO/IEC 19770 -1:** Software asset management standard released by the International Organization for Standardization in conjunction with the International Electrotechnical Commission. Adherence to the standard enables an organization to prove software asset management practices sufficient to satisfy corporate governance requirements and to ensure effective support for information technology service management overall.

**Software Asset Management (SAM):** The business discipline by which an organization aims to optimize investments in software by controlling, managing and improving upon configuration management, life-cycle management, inventory management and license compliance processes.

## VI. Changes and Exceptions

The Procedure for Establishing and Implementing Statewide Information Technology Policies and Standards shall govern policy changes or exceptions. Submit requests for a review or change to this instrument by Action Request form (at http://sitsd.mt.gov/policy/policies/default.mcpx). Submit requests for exceptions by an Exception Request form (at http://sitsd.mt.gov/policy/policies/default.mcpx). Changes to policies and standards will be prioritized and acted upon based on impact and need.

## VII. Closing

Direct questions or comments about this Standard to the State of Montana Chief Information Officer at SITSD Service Desk (at http://servicedesk.mt.gov/ess.do), or:

PO Box 200113
Helena, MT 59620-0113

(406) 444-2700
FAX: (406) 444-2701

**VIII. References**

**A. Legislation**

**1.** 2-17-512(1)(l), MCA, Powers and duties of department.

**2.** 2-17-514(3), MCA, Department - enforcement responsibilities.

**3.** 2-17-518, MCA, Rulemaking authority.

**B. Policies, Directives, Regulations, Rules, Procedures, Memoranda**

**1.** Statewide Policy: Establishing and Implementing Statewide Information Technology Policies and Standards

**2.** Statewide Procedure: Establishing and Implementing Statewide Information Technology Policies and Standards

**C. Standards, Guidelines**

**1.** ISO/IEC 19770-1 technical standard for Software Asset Management (SAM)

**VI. Administrative Use**

    **A.  Scheduled Review Date:**       **January 1, 2012**

    **B.  Changes:**              **NA**

# Software Asset Management (SAM) Implementation Timeline

Note: This document will be considered an addendum to the SAM Standard until the end of FY2016.

| Control | Effective Timeframe | Calendar Date |
|---|---|---|
| **PHASE ONE – Trustworthy Data** | | |
| Knowing what you have so you can manage it. | | |
| a.  Software Asset Identification | 2Q FY 14 | Dec 31, 2013 |
| b.  Software Asset Inventory Management | 2Q FY14 | Dec 31, 2013 |
| c.  Software Asset Record Verification | 2Q FY14 | Dec 31, 2013 |
| d.  Software Licensing Compliance | 2Q FY14 | Dec 31, 2013 |
| e.  Conformance Verification for SAM | 2Q FY14 | Dec 31, 2013 |
| **PHASE TWO – Practical Management** | | |
| Improving management controls and driving immediate benefits. | | |
| f.  Corporate Governance Process for SAM | 4Q FY14 | Jun 30, 2014 |
| g.  Roles and Responsibilities for SAM | 4Q FY14 | Jun 30, 2014 |
| h.  Policies, Processes and Procedures for SAM | 4Q FY14 | Jun 30, 2014 |
| i.  Planning for SAM | 4Q FY14 | Jun 30, 2014 |
| j.  Monitoring and Review of SAM | 4Q FY14 | Jun 30, 2014 |
| k.  Competence in SAM | 4Q FY14 | June 30, 2014 |
| l.  Conformance Verification in SAM | 4Q FY14 | Jun 30, 2014 |

The department head (or equivalent executive officer) has overall responsibility for providing adequate resources to support SAM.

| Control | Effective Timeframe | Calendar Date |
|---|---|---|
| **PHASE THREE – Operational Integration** | | |
| Improving efficiency and effectiveness. | | |
| m. Relationship and Contract Management for SAM | 2Q FY15 | Dec 31, 2014 |
| n. Financial Management for SAM | 2Q FY15 | Dec 31, 2014 |
| o. Service Level Management for SAM | 2Q FY15 | Dec 31, 2014 |
| p. Acquisition Process | 2Q FY15 | Dec 31, 2014 |
| q. Software Deployment Process | 4Q FY15 | Jun 30, 2015 |
| r. Retirement Process | 4Q FY15 | Jun 30, 2015 |
| s. Conformance Verification for SAM | 4Q FY15 | Jun 30, 2015 |
| **PHASE FOUR – Full ISO Conformance** | | |
| Achieving best-in-class strategic SAM. | | |
| t. Security Management for SAM | 2Q FY16 | Dec 31, 2015 |
| u. Software Asset Security Compliance | 2Q FY16 | Dec 31, 2015 |
| v. Change Management Process | 2Q FY16 | Dec 31, 2015 |
| w. Software Development Process | 2Q FY16 | Dec 31, 2015 |
| x. Software Release Management Process | 2Q FY16 | Dec 31, 2015 |
| y. Incident Management Process | 4Q FY16 | Jun 30, 2016 |
| z. Problem Management Process | 4Q FY16 | Jun 30, 2016 |
| aa. Software Asset Control | 4Q FY16 | Jun 30, 2016 |
| bb. Implementation of SAM | 4Q FY16 | Jun 30, 2016 |
| cc. Continual Improvement of SAM | 4Q FY16 | Jun 30, 2016 |
| dd. Conformance Verification for SAM | 4Q FY16 | Jun 30, 2016 |